

# Operator's Lesson Plan

## Interstate Identification Index (III) and Criminal History Record Information (CHRI)

### I. Introduction

1. Interstate Identification Index System or "Triple I (III) means the cooperative federal-state system for the exchange of criminal history records, and includes the National Identification Index (NII), the National Fingerprint File (NFF), and, to the extent of their participation in such system, the criminal history record repositories of the states and the FBI.
2. Criminal History Record Information (CHRI) is defined as :  
Information collected by criminal justice agencies on individuals consisting of identifiable descriptions and notations of arrests, detentions, indictments, information, or other formal criminal charges, and any disposition arising there from, including acquittal, sentencing, correctional supervision, and release.  
This does not include:
  - a. identification information such as fingerprint records if such information does not indicate involvement of the individual in criminal activity (i.e. employment)
  - b. requests for confirmation of active warrants.
3. Federal Title 28, Judicial Administration, Chapter 1 Department of Justice, Part 20 Criminal Justice Information Systems Subpart B, states:  
"No agency or individual shall confirm the existence or nonexistence of criminal history record information to any person or agency that would not be eligible to receive the information itself."
4. Penalties for violating the regulations regarding the use and dissemination of criminal history information shall be subject to a civil penalty not to exceed \$10,000 for violation occurring before September 29, 1999 and not to exceed \$11,000 for a violation occurring on or after September 29, 1999.
5. Criminal History records shall not be used to access a record to be reviewed and/or challenged by the subject of the record. Record request for this purpose must be submitted in writing either to the FBI Criminal Justice Information Services (CJIS) or to the state of record.

### II. Objectives

Upon completion of this lesson, the user will be able to answer test questions related to inquiring on and the use of Criminal History.

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## III. Interstate Identification Index (III)

1. Records Provided by the FBI:  
The FBI provides the criminal history records for persons arrested by a federal agency, arrest data from states not currently participating in the III Program, and arrest data that III participating states are unable to provide. Record responses from the FBI are furnished via NCIC 2000 lines.
2. Records Provided by Participating States:  
A participating state file is a criminal history record system maintained by a designated agency in a state. A state referred to as a III participant provides records from its file upon receipt of notification from III. For a state to be a III participant, it must meet the minimum standards for participation.
3. An authorized criminal justice agency can make an inquiry (QH) based on name and numeric identifiers (birth date, Social Security number, etc.) to determine the existence of a criminal record matching the inquiry. A positive III response contains additional identifying data to associate the record with the person of the inquiry (height, weight, race, fingerprint and/or pattern classification, tattoos, etc.). The response also identifies the database(s) maintaining the criminal history information. With this information, the agency can decide whether to conduct a record request (QR).
4. The III provides a method for requesting a criminal history record once a person has been associated with an Index record, or when the person has been positively identified with a prior record through fingerprint comparison at the local or state level. Requests made on-line via III result in automatic notification to the record holder(s) with sufficient information enabling the holder(s) to respond. If the record is maintained only by the FBI, it will be automatically returned on-line via NCIC 2000. If the record is maintained by one or more states participating in the III record exchange, the state(s) will respond via the National Law Enforcement Telecommunications System, Inc. (NLETS). When the record is on file in a participating state(s) and the federal offender and/or nonparticipating state data are on file at the FBI, the requester will receive multiple on-line responses, i.e., the FBI will furnish the federal and/or nonparticipating state data and the participating state(s) will furnish its data.

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5. The Privacy Act of 1974 requires the FBI to maintain an audit trail of the purpose of each disclosure of a criminal history record and the recipient of that record. Therefore, inquiries and record requests transmitted to III must include the purpose for which the information is to be used.
- IV. III QH Inquiry (and Indiana Files)
1. A QH inquiry provides the capability to search III using an individual's personal identifiers, assigned State Identification Number (SID), or assigned FBI Number (FBI). A positive QH response will inform the inquirer how many record responses to expect if the QR message is used to request the specific criminal history record. The QH response provides additional identifiers (aliases, additional dates of birth, etc.) which may not be included on the actual criminal history record response(s).
  2. In response to a QH inquiry, III will provide one of the following:
    - a. An index for a single matching III record response.
    - b. Index records for multiple matching III responses (a maximum of 15 subjects) and a caveat containing any additional subjects.
    - c. A III NO RECORD response.
      1. This does not necessarily mean that there is no criminal history record on the individual. Records known to the FBI with a year of birth of 1956 or later, or arrested for the first time and reported to the FBI since July 1, 1974 and numerous older files indexed. A fingerprint card will need to be submitted by mail or electronically to the FBI if a "NO RECORD" is received.
  3. The FINGERPRINT CLASS is furnished on two lines. The first line represents the fingerprint classification of the right hand; the second line represents the left hand.
  4. The word DECEASED will appear in conjunction with a participating state SID when the record is multi-source and one of the states has received information that the individual is dead.
  5. A III inquiry must contain one the following:
    - a. NAM, SEX, RAC, and DOB.
    - b. NAM, SEX, RAC, DOB, SOC (Social Security Number).
    - c. NAM, SEX, RAC, DOB, MNU (Miscellaneous Number).
    - d. NAM and SOC.
    - e. NAM and MNU.
    - f. SID or NAM and SID\* (State Identification Number).

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g. FBI or NAM and FBI \*.

\*(If known, the SID or FBI should be used as the search field. An exact hit will be made and it will eliminate the possibility of multiple responses.)

## A. III Inquiry Transaction (QH)

**III INQUIRY TRANSACTION (QH)**

**USER DATA**

User ID (UID)

Password Field (PWID)

Entering Agency (ENT)

Requestor (RQR)

**AGENCY/CASE DATA**

Originating Agency Code (ORI)  Purpose Code (PUR)

Reason (RSN)

Reason (RTN)

**PERSON DATA**

Name (NAM)

Sex (SEX)  Race (RAC)  Date of Birth (DOB)

Social Security Number (SOC)  FBI Number (FBI)

State Identification Number (SID)  Miscellaneous Number (MNU)

**TEST INDICATOR**

Test Indicator

**RETURN RESTRICTION DATA**

Return Restriction (HIT)

Command:

FOX-PRIM T DP521 TRN21 LOG 0 Message 9:22

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## Agency/Case Data

1. Purpose Code (PUR)
  - a. Required.
  - b. C - Criminal Justice Purpose: Used for official duties in connection with the administration of criminal justice.

J - Criminal Justice Employment: Used when the III transaction involves employment with a criminal justice agency or the screening of employees of other agencies over which the criminal justice agency maintains management control.

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D - Domestic Violence: Used by civil or criminal courts in domestic violence and stalking cases.

E – Non Criminal Justice Employment.

F – Firearms Sale: Used for weapons Checks related background checks authorized by the state. All firearm-related checks must be made through the National Instant Criminal Background Check System (NICS).

H – Housing Administration/Authority Check: Used when the III inquiry is made under the authority of the Housing Opportunity Extension Act of 1996. **Limited to QH inquiries.**

S - National Security: Used when the III transaction is generated by an agency authorized by the Security Clearance Information Act (SCIA) in investigation of individuals for access to classified information or assignment in sensitive national security duties.

V - Visa Applicants: Used when the III transaction is made for the purpose of determining eligibility for visa application. **Limited to QH inquiries by the Department of State, Consolidated Immigrant Processing Visa Center.**

X – Exigent Procedures: Pending.

3. Reason (RSN)
  - a. Required.
  - b. A specific reason must be used to obtain a record. Case or incident number, CAD number. **General investigation cannot be used.**
4. Attention (ATN)
  - a. Required.
  - b. Name of the individual requesting the record.  
EX: SGT JOHN DOE, TRAFFIC SECTION

## Person Data

1. Name (NAM)
  - a. Required.

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- b. Last name, first name, and middle name or initial.
  - c. JANE DOE or JOHN DOE should **not** be used when the subject name is unknown. A NO RECORD response will be transmitted.
  - d. If a individual has a single name as his/her entire name, the name in the inquiry must be entered with the single name as the last name, comma, and XX as the first name.
  - e. Compound surnames such as SAENZ-PARADA-LOPEZ will be coded as SAENZPARADALOPEZ, SAENZ, PARADA, and LOPEZ so that an inquiry by any one of the possible surnames will be matched against the compound name.
- 2. Sex (SEX)
  - a. Male (M).
  - b. Female (F).
- 3. Race (RAC)
  - a. A Asian or Pacific Islander
  - I American Indian or Alaskan Native
  - B Black
  - W White
  - U Unknown
- 4. Date of Birth (DOB)
  - a. MMDDYYYY.
  - b. When a complete date of birth is used in an inquiry, the search will provide records that score sufficiently high based on matching:
    - 1. Name, sex, race
    - 2. The same complete date of birth.
    - 3. The same month and day of birth, and plus or minus three years from the year of birth.
    - 4. An inquiry which contains an incomplete date of birth will be rejected. Ex: 19600000, 19601200.
- 5. Social Security Number (SOC)
  - a. Must be nine (9) numeric characters.
- 6. FBI Number (FBI)
  - a. Must be a number assigned by the FBI.

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7. State Identification Number (SID)
  - a. Must have the first two characters as the State code, followed by up to eight numerics.
8. Miscellaneous Number (MNU)
  - a. Minimum of four and maximum of fifteen characters.
  - b. The first two characters must be a valid NCIC alphabetic code.

## V. III QR Record Request

1. In order to obtain a specific criminal history via the III, a criminal history record request (QR) transaction containing either the FBI or SID must be used.
2. A record to be provided by one or more state agencies participating in the III will be transmitted via NLETS either immediately or an acknowledgment will be sent with a notice of when the record will be provided. Each state provides records via the III in the format that is used within the state. Criminal History HELP Files (SIR) are available via NLETS, which includes a state contact who can answer questions regarding that state's record.
3. A record provided by the FBI will be automatically returned on-line via NCIC 2000.

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## B. III Inquiry Transaction (QR)

**III INQUIRY TRANSACTION (QR)**

**USER DATA**

User ID (UID)

Password Field (PWD)

Entering Agency (ENT)

Requestor (RQR)

**AGENCY/CASE DATA**

Originating Agency Code (ORI)  Purpose Code (PUR)

Reason (RSN)

Attention of Recipient (ATN)

**PERSON DATA**

Name (NAM)

State Identification Number (SID)  FBI Number (FBI)

**MAILING ADDRESS DATA**

Postal Address (DPT)

Street Address (ADR)

Building (BLD)

City and State (CIS)

Zip Code (ZIP)

**TEST INDICATOR**

Test Indicator

Command:

FOX-PRIM T DPS21 TRN21 LOG 0 Message 9:24

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### Agency/Case Data

1. Purpose Code (PUR)
  - a. Required.
3. Reason (RSN)
  - a. Required.
  - b. A specific reason must be used to obtain a record.  
i.e. Case or incident number, CAD number. **General investigation cannot be used.**
4. Attention (ATN)
  - a. Required.
  - b. Name of the individual requesting the record.  
EX: SGT JOHN DOE, TRAFFIC SECTION



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## Mailing Address Data

1. The mailing address, which includes the Department or Agency Name (DPT), Street Address or P.O. Box (ADR), City and State (CIS), and the Zip Code (ZIP), is optional. If the mailing address is used, all four fields must contain information.

## VI. QWI Inquiry – Combined III and QWI Transactions

1. The QWI transaction accesses both III and NCIC 2000 by one transaction. This inquiry is treated by NCIC 2000 as a QW and by III as a QH.

## C. QWI Inquiry Transaction (QWI)

**Omnixx Force**

File Forms Edit Comm Options Tools Windows Links Help

Transmit Message Window Message Log

**QWI INQUIRY TRANSACTION (QWI)**

**USER DATA**

User ID (UID)

Password Field (PWD)

Entering Agency (ENT)

Requestor (RQR)

**AGENCY/CASE DATA**

Originating Agency Code (ORI)

Agency Case Number (OCA)  Purpose Code (PUR)

Reason (RSN)

Abandon (ATN)

Related Search Hit (RSH)

**PERSON DATA**

Name (NAM)

Expanded Name Search (ENS)  Sex (SEX)  Race (RAC)

Date of Birth (DOB)  Social Security Number (SOC)

Miscellaneous Number (MNU)  FBI Number (FBI)

State ID Number (SID)

**IMAGE DATA**

Image Indicator (IND)

**TEST INDICATOR**

Command:

FOX-PRIM T DP521 TRN21 LOG 0 Message 9:36

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## VII. III Inquiry Transaction FBI/SID (ZR)

1. A ZR inquiry may be used to determine if the record corresponding to a particular FBI or SID is available via the III. The ZR response will advise whether or not the record is on file. This capability is primarily for administrative record maintenance purposes, but it is available to all users.

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2. The purpose code is optional in a ZR inquiry. If the purpose code is not included, the transaction is considered to be for administrative purposes. The purpose code must be either C (criminal justice), J (criminal justice employment), or A (administrative file maintenance).
3. Responses will be received when the record has been removed from III due to its consolidation with another record, deletion, expungement, or the subject is deceased. This type of response will be received only when the inquiry is made using the FBI number.

## D. III Inquiry Transaction FBI/SID Index (ZR)

The screenshot displays the Omnibx Force application window. The title bar reads "Omnibx Force". The menu bar includes "File", "Forms", "Edit", "Comm", "Options", "Tools", "Windows", "Links", and "Help". The toolbar contains icons for "Transmit", "Message Window", and "Message Log". The main window title is "III INQUIRY TRANSACTION: FBI/SID INDEX (ZR)".

The form is divided into several sections:

- USER DATA:**
  - User ID (UID):
  - Password Field (PWID):
  - Entering Agency (ENT):
  - Requestor (RQR):
- AGENCY/CASE DATA:**
  - Originating Agency Code (ORI):
  - Purpose Code (PUR):
- PERSON DATA:**
  - State Identification Number (SID):
  - FBI Number (FBI):
- TEST INDICATOR:**
  - Test Indicator:

At the bottom of the form is a "Command:" label followed by a text input field. The status bar at the bottom of the window shows "FOX-PRIM", "T", "DPS21", "TRN21", "LOG", "0 Message", and "9:47". The Datamaxx logo and "Leading Law Enforcement Technology" are visible in the bottom right corner.

### Agency/Case Data

1. Purpose Code (PUR)
  - a. Optional.

### Person Data

1. FBI Number (FBI)
  - a. Must be a number assigned by the FBI.

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2. State Identification Number (SID)
  - a. Must have the first two characters as the State code, followed by up to eight numerics.

## VIII. Criminal History Record Inquiry (CHRI) NLETS

1. The purpose of this system is to provide a standardized, secure and efficient method to acquire CHRI and CHRI-related information from state and local law enforcement and criminal justice agencies. This capability allows states that have automated criminal history systems to respond automatically (without manual intervention) to requests from other states over NLETS. States that are currently not automated should respond manually. The system is used to retrieve criminal history records that are not presently available on NCIC's Triple I system. This should never be used as a substitute for the Triple I system, but rather as a secondary inquiry after:
  - a. There has been an inquiry on the Triple I system and a no record has been received.
  - b. A record has been received but there may be additional data on the state file.
2. A request for out-of-state criminal history or criminal history related information may be obtained by using three types of queries: IQ, FQ, and AQ. Images are also available via NLETS.
3. A NLETS inquiry must contain one the following:
  - a. NAM, SEX, RAC, and DOB.
  - b. NAM, SEX, RAC, DOB, SOC (Social Security Number).
  - c. NAM, SEX, RAC, DOB, MNU (Miscellaneous Number).
  - d. NAM and SOC.
  - e. NAM and MNU.

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## IX. Identification Inquiry (IQ)

The purpose of this inquiry is to request identity information on a subject that may be in file at a state central repository.

### E. Query NLETS Criminal History Index (IQ)

### Agency/Case Data

1. NLETS Destination Code
  - a. Required first destination.
  - b. Up to 5 destinations can be entered for one inquiry.
2. Image Request (IMQ)
  - a. To request a Driver Photo be sent along with the response. Valid entries for this field are Y for "Yes". No is assumed if blank.

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## X. Full Data Inquiry (FQ)

1. The purpose of this query is to retrieve a full record from a state repository when a positive response has been received from a IQ.

## F. Query NLETS Criminal History Record (FQ)

**QUERY NLETS CRIMINAL HISTORY RECORD (FQ)**

**USER DATA**

User ID (UID)

Password Field (PWD)

Entering Agency (ENT)

Requestor (RQR)

**AGENCY/CASE DATA**

Originating Agency Code (ORI)  NLETS Destination Code

Optional Control Field

Attention of Recipient (ATN)

Purpose Code (PUR)  Image Request (IMQ)

Reason (RSN)

**PERSON DATA**

State Identification Number (SID)

**MAILING ADDRESS DATA**

Department Postal Address (DPT)

Building Postal Address (BLD)

Address (ADR)

City and State Postal Address (CIS)

Zip Code (ZIP)

Command:

FOX-PRIM T DPS21 TRN21 LOG 0 Message 11:05

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### Person Data

1. State Identification Number (SID)
  - a. Must have the first two characters as the State code, followed by up to eight numerics.

### Mailing Address Data

1. The mailing address, which includes the Department or Agency Name (DPT), Street Address or P.O. Box (ADR), City and State (CIS), and the Zip Code (ZIP), is optional. If the mailing address is used, all four fields must contain information.

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## XI. Additional Information Inquiry (AQ)

The purpose of the AQ is to request supplemental or other information not available through the normal IQ or FQ queries. This includes requests for mailed records, photos, F/P cards, dispositions, special handling of the inquiry, inquiry when only a partial DOB is known, etc. This message may be used to request information from a local agency, specific out-of-state agency, or a state central repository.

### G. NLETS Administrative Criminal History (AQ)

**USER DATA**

User ID (UID)

Password Field (PWND)

Entering Agency (ENT)

Requestor (RQR)

**AGENCY/CASE DATA**

Originating Agency Code (ORI)  Destination ORI/Region Code (DRI)

Destination ORI/Region Code (DRI)  Destination ORI/Region Code (DRI)

Destination ORI/Region Code (DRI)  Destination ORI/Region Code (DRI)

Optional Control Field

Alteration of Recipient (ATN)

Purpose Code (PUR)

Reason (RSN)

**PERSON DATA**

Name (NAM)

Date of Birth (DOB)  Race (RAC)  Sex (SEX)

Social Security Number (SOC)  State Identification Number (SID)

**MESSAGE TEXT**

Message Text (TXT)

Command:

FOX-PRIM T DPS21 TRN21 LOG 0 Message 11:08

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### Message Text

1. Message Test
  - a. Required.
  - b. Free text. Must be used to explain what type of information is being requested.



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## XII. Additional Reply (AR)

This message type should be used to respond to all AQ's.

### H. Administrative Message Criminal History Response (AR)

The screenshot shows the Omnixx Force software interface. The main window is titled "ADMINISTRATIVE MESSAGE CRIMINAL HISTORY RESPONSE (AR)". It contains several sections for data entry:

- USER DATA:** Includes fields for User ID (UID) (containing "TRN21"), Password Field (PWD), Entering Agency (ENT), and Requestor (RQR).
- AGENCY/CASE DATA:** Includes fields for Originating Agency Code (ORI) (containing "INISP0000"), Destination ORI, Optional Control Field, Attention of Recipient (ATN), and Purpose Code (PUR).
- MESSAGE TEXT:** A large text area for entering the message text.

At the bottom of the window, there is a "Command:" field and a status bar showing "FOX-PRIM", "T", "DPS21", "TRN21", "LOG", "0 Message", and "11:13". The Datamaxx logo and "Leading Law Enforcement Technology" are visible in the bottom right corner.

### Message Text

1. Message Text
  - a. Required.
  - b. Free text. Must be used to explain what type of information is being requested.

## XIII. PAROLE, PROBATION, AND CORRECTIONS TRANSACTIONS (PAQ/PPQ/PBQ/PCQ)

1. An agency may request out-of-state parole, probation or corrections (PPC) information by using four types of queries; PAQ, PPQ, PBQ, and PCQ. The PPQ, PCQ AND PBQ inquiries will access specific information from a state. The PAQ will check all three files within a state.

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2. Many states will not be able to respond to some or all of these types of inquiries. An exception table set up by NLETS, will not forward those types of inquiries that a state cannot support. It is not required that a state provide an automated response to a PPC query. If a manual response is to be sent back, the state should generate a message notifying the inquirer. There are also HELP files set up for each application that will provide details regarding access, and availability.
3. Only criminal justice agencies authorized to access criminal records will be allowed to request these types of messages to NLETS.

## I. Query by Parole, Probation, and Corrections (PAQ)(PPQ)(PBQ)(PCQ)

**Omnixx Force**

File Forms Edit Comm Options Tools Windows Links Help

Transmit Message Window Message Log

**QUERY BY PAROLE PROBATION AND CORRECTIONS (PAQ)**

**USER DATA**

User ID (UID)

Password Field (PWD)

Entering Agency (ENT)

Requestor (RQR)

**AGENCY/CASE DATA**

Originating Agency Code (ORI)  NLETS Destination Code

Optional Control Field

Attention of Recipient (ATN)

Purpose Code (PUR)  Image Request (IMQ)

**PERSON DATA**

Name (NAM)

Date of Birth (DOB)  Sex (SEX)  Social Security Number (SOC)

Miscellaneous Number (MNU)

State Identification Number (SID)  FBI Number (FBI)

Command:

FOX-PRIM T DPS21 TRN21 LOG 0 Message 11:14

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